

THE COMMISSIONER OF PATENTS AND TRADEMARKS  
Washington D. C. 20231

Transmittal herewith for filing is the patent application of  
Inventor(s): ROBERT S. HERRICK, HERRICK FAMILY LIMITED PARTNERSHIP  
For: PUNCTUM PLUG HAVING A COLLAPSIBLE FLARED SECTION AND METHOD

70647 U.S. PTO  
08/951690  
10/16/97

Enclosed are:

- ☒ Eight (8) sheet(s) of formal drawing(s).  
☒ An Assignment of the invention to HERRICK FAMILY LIMITED PARTNERSHIP, a California limited partnership  
☐ A certified copy of a \_\_\_\_\_ application.  
☐ An associate Power of Attorney.  
☐ A Verified Statement to establish Small Entity Status under 37 CFR 1.9 and 37 CFR 1.27. (Independent Inventor)  
☒ This Application is a Continuation-in-Part of Serial No. 08/475,548 filed June 7, 1995.

The filing fee has been calculated as shown below.

\*\* Duplicate copy of this form attached to Assignment.

	(Col. 1)	(Col. 2)
FOR:	NO. FILED	NO. EXTRA
BASIC FEE		
TOTAL CLAIMS	32-20=	* 12
INDEP CLAIMS	9- 3=	* 6
[ ] MULTIPLE DEPENDENT CLAIM PRESENTED		

\* If the difference in Col.1 is less than zero, enter "0" in Col.2

## SMALL ENTITY

RATE	FEE
	\$395
x11=	\$
x41=	\$
x130=	\$
TOTAL	\$

OTHER THAN A  
SMALL ENTITY

RATE	FEE
	\$ 790.
x22=	\$ 264.
x82=	\$ 492.
x260=	\$ 0
OR TOTAL	\$ 1,546.

+ Assignment \$ 40.00 = \$ 1,586 total

- ☒ Please charge my Deposit Account No. 13-2515 for any additional fees. A duplicate copy of this sheet is enclosed.
- ☒ A check in the amount of \$ 1,586.00 to cover the filing fee associated with this communication or credit any overpayment to Deposit Account No. 13-2515. A duplicate copy of this sheet is enclosed.
- ☒ Any additional filing fees required under 37 CFR 1.16.  
☐ Any patent application processing fees under 37 CFR 1.17.
- ☐ The Commissioner is hereby authorized to charge payment of the following fees associated with this communication or credit any overpayment to Deposit Account No. 13-2515. A duplicate copy of this sheet is enclosed.
- ☐ Any patent application processing fees under 37 CFR 1.17.  
☐ The issue fee set in 37 CFR 1.18 at or before mailing of the Notice of Allowance, pursuant to 37 CFR 1.311(b).  
☐ Any filing fees under 37 CFR 1.16 for presentation of extra claims.

Daniel J. Meaney, Jr., Esq.  
P. O. Box 22307  
Santa Barbara, California 93121  
Phone: (805) 565-5513  
Date: October 16, 1997

Respectfully submitted,

*Daniel J. Meaney, Jr.*  
Daniel J. Meaney, Jr.  
Reg. No. 22179

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT: ROBERT S. HERRICK,  
ATTY. DKT NO.: 5488.1 313718/111  
FILED: October 16, 1997  
(By Express Mail)  
FOR: PUNCTUM PLUG HAVING A COLLAPSIBLE FLARED  
SECTION AND METHOD

Commissioner of Patents and Trademarks  
Washington, D. C. 20231

CERTIFICATE OF FILING UNITED STATESPATENT APPLICATION BY EXPRESS MAIL

Dear Sir:

Pursuant to the provisions of 37 C.F.R. Section 1.10,  
enclosed herewith are the following documents for filing:

- (1) Covering Letter on FORM PTO-1082;
- (2) Patent Application comprising Specification  
Pages 1 through 51, Claims 1 through 32 and  
DECLARATION AND POWER OF ATTORNEY CO-PENDING  
APPLICATION CONTAINING ADDITIONAL SUBJECT  
MATTER;

I hereby certify that this correspondence is  
being deposited with the United States Postal  
Service as EXPRESS MAIL No. EH659291865US in  
an envelope addressed to:  
Commissioner of Patents and Trademarks,  
Washington, D. C. 20231, on October 16, 1997.

Date of Signing: October 16, 1997

Signature: David J. Mearns

Date of Mailing: October 16, 1997



- (3) Eight (8) sheets of formal drawings;
- (4) ASSIGNMENT and RECORDATION FORM COVER SHEET;
- (5) CHECK for \$1,586 paying the filing fee of \$1,546 and Assignment fee of \$40; and
- (6) TWO (2) POSTCARDS, one for the United States Patent Application and one for the ASSIGNMENT.

We respectfully request a filing date of October 16, 1997, the date of mailing the above-referenced documents, pursuant to the provisions of 37 C.F.R. Section 1.10.

Respectfully submitted,



Daniel J. Meaney, Jr.  
Registration 22179  
Attorney for Applicant

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Dated: October 16, 1997

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